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Attorney Docket No.  
D/97005IID

on 8/20/01  
Date

Patricia A. Kocsis  
Patricia A. Kocsis

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of Christopher L. Chua et al.

Group Art Unit:

Application No.:

Examiner:

Filed:

For: METHOD AND STRUCTURE FOR ELIMINATING POLARIZATION INSTABILITY IN LATERALLY-  
OXIDIZED VCSELS

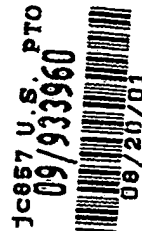
Commissioner for Patents  
Washington, D.C. 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. 1.56 and 37 C.F.R. 1.97, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully requested that said references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a continuing application, **OR** (b) before the mailing date of a first Office Action on the merits in the present application. *No certification or fee is required.*
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$240.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**



Application No.

- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$130 in payment of the petition fee under 37 C.F.R. 1.17(i)(1) (*A copy of this paper is attached*); AND
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); (OR)
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- ☐ 5. Per 37 C.F.R. 1.98(c), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. An English language version of an above-referenced counterpart foreign application search report is attached.
- ☒ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. 09/389,160, filed 09/02/99, which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 C.F.R. §1.98(d).



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